



REPLY TO
ATTENTION OF:

DEPARTMENT OF THE ARMY
HEADQUARTERS, US ARMY ARMOR CENTER AND FORT KNOX
75 6TH AVENUE
FORT KNOX, KENTUCKY 40121-5717

Expires 14 July 2008

IMSE-KNX-IMO (380)

14 July 2006

MEMORANDUM FOR

Commanders, All Units Reporting Directly to This Headquarters
Commanders, Fort Knox Partners in Excellence
Directors and Chiefs, Staff Offices/Departments, This Headquarters

SUBJECT: Fort Knox Policy Memo No. 40-06 – Investigative Requirements for Contractors Accessing Sensitive Government Information Systems and Networks

1. References.

- a. AR 380-67, The Department of the Army Personnel Security Program, 9 Sep 88.
- b. USAARMC Pamphlet 380-67, Personnel Security Program, 21 Oct 94.
- c. AR 25-2, Information Assurance, 14 Nov 03.

2. The organization's Information Assurance Security Officer (IASO) will complete FK Form 5073-E (Contractor System/Network Access Check Sheet) (Enclosure 1) before requesting system/network access. The IASO will maintain the form on file for the duration of access and update as needed for security investigation requirements. (Form is available for electronic fill at <http://www.knox.army.mil/garrison/doim/forms.htm>.) Contract employees may access government information systems/networks, if they meet the criteria listed below:

- a. Citizenship. Contract employees must be citizens of the United States.
- b. Need to know. The contracting officer representative (COR) must verify the contractors require access to the information system or network to fulfill the requirements of the contract.
- c. Investigation. The security manager of the organization employing contractors will verify investigative information to be provided to the organization IASO.

(1) Classification requirements.

(a) If contractors have an unclassified contract, and they had an investigation based on prior military, civilian, or contract service, the investigative information can be verified through the Security Division, DPTMS. If there has been a break in service of more than 2 years, a new investigation must be submitted using SF 85P. The SF 85P must be completed using Electronic Personnel Security Questionnaire (EPSQ). Use FK Form 5042-R-E (Investigation Status Pertaining to Contractors) (Enclosure 2) when requesting investigative status from the Security Division, DPTMS.

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(b) If contractors have a classified contract, the investigative information will be obtained from the facility security officer of their facility. If an investigation is required, the security officer of their facility will process the SF 86.

(2) Information technology (IT) Positions. Contract employees occupying an IT I, II, or III position (see Enclosure 3) must successfully complete a security investigation as listed below. Criteria for occupying an IT I, II, or III position are contained in AR 380-67, paragraph 2-200. If adverse information surfaces either through the formal security investigation or through other official sources after the investigation, the procedures in Chapter 8 of AR 380-67 will be followed, and a suitability determination must be made. This is a continuous process. Suitability adjudication is the collective responsibility of the commander/director, security manager, COR, and information assurance manager (IAM). The investigation must be completed before individuals are permitted access to any automated information system. The investigation must be favorably completed with no derogatory information before assigning contractors to any IT I or II position. The investigation listed below must be initiated, and favorable review of SF 85P must be conducted before assigning individuals to any IT III position.

(a) IT I. Single Scope Background Investigation (SSBI).

(b) IT II. National Agency Check, Local Agency Checks, and Credit Check (NACLC), Secret/Periodic Reinvestigation (Secret/PR), National Agency Check (NAC), Entrance National Agency Check (ENTNAC), Access National Agency Check with Inquiries (ANACI), or National Agency Check with Inquiries (NACI).


(c) IT III. NACLC, Secret/PR, NAC, ENTNAC, ANACI, or NACI.

d. Training. Contract employees must receive training as required by Public Law 100-235 and AR 25-2 before accessing the information system. Training must be documented and maintained by the IASO.

3. Point of contact is the DOIM information assurance manager, phone 4-7201.

FOR THE COMMANDER:

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as


MARK D. NEEDHAM
COL, AR
Garrison Commander

DISTRIBUTION:
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CONTRACTOR SYSTEM/NETWORK ACCESS CHECK SHEET		
For use of this form, see AR 380-67		
<i>INSTRUCTIONS: This signed check sheet will be maintained by the IASO to support request for contractor access to system/network and will be updated as needed for security investigation requirements.</i>		
NAME (Contract Employee):	DATE:	
ACTIVITY/ORGANIZATION:		
SECTION I. CITIZENSHIP.		
1. Contract employee is a US Citizen.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
SECTION II. NEED TO KNOW.		
2. Access to system/network is necessary to fulfill requirements of the contract.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
SECTION III. INVESTIGATION. (Include investigation information under Comments)		
3. Classified access required.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
4. Unclassified access required.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
5. IT position.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
SECTION IV. TRAINING.		
6. Training required by Public Law 100-235 has been completed.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
7. Training required by AR 25-2 has been completed.	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
SECTION V. AUTHENTICATION.		
COR NAME:	SIGNATURE:	
S2/SECURITY MANAGER NAME:	SIGNATURE:	
IASO NAME:	SIGNATURE:	

Encl 1 to memo, IMSE-KNX-IMO, 16 July 2006, subject: Fort Knox Policy Memo No. 40-06 – Investigative Requirements for Contractors Accessing Sensitive Government Information Systems and Networks

INVESTIGATION STATUS PERTAINING TO CONTRACTORS <small>For use of this form, see AR 380-67.</small>																		
DATA REQUIRED BY THE PRIVACY ACT OF 1974 AUTHORITY: 10 U.S.C. 3012 and E.O. 9397 PURPOSE: Requested information will be used to verify investigation status. ROUTINE USE: Your Social Security Number (SSN) will be used to identify you. DISCLOSURE: Providing this information is voluntary; however, we may not be able to verify the status of your investigation in a timely manner if the information we have requested is not provided. This may affect your placement or employment prospects.																		
INSTRUCTIONS: See back of this form for guidance.		DATE																
TO	FROM																	
REASON FOR REQUEST <input type="checkbox"/> Assignment to ADP I Position. <input type="checkbox"/> Assignment to ADP II Position. <input type="checkbox"/> Assignment to ADP III Position.																		
NAME (LAST, First Middle)	SSN																	
MILITARY HISTORY From _____ To _____	CIVIL SERVICE HISTORY From _____ To _____																	
FEDERAL GOVERNMENT CONTRACTOR HISTORY <table style="width: 100%; border: none;"> <tr> <td style="width: 45%;">Contractor's Name _____</td> <td style="width: 10%;">From _____</td> <td style="width: 10%;">To _____</td> <td style="width: 35%;">Present</td> </tr> <tr> <td>Contractor's Name _____</td> <td>From _____</td> <td>To _____</td> <td></td> </tr> <tr> <td>Contractor's Name _____</td> <td>From _____</td> <td>To _____</td> <td></td> </tr> <tr> <td>Contractor's Name _____</td> <td>From _____</td> <td>To _____</td> <td></td> </tr> </table>			Contractor's Name _____	From _____	To _____	Present	Contractor's Name _____	From _____	To _____		Contractor's Name _____	From _____	To _____		Contractor's Name _____	From _____	To _____	
Contractor's Name _____	From _____	To _____	Present															
Contractor's Name _____	From _____	To _____																
Contractor's Name _____	From _____	To _____																
Contractor's Name _____	From _____	To _____																
TO	FROM																	
RESULTS OF G3/DPTM SECURITY DIVISION'S STATUS CHECK Investigation Type _____ Conducted By _____ Date _____ <input type="checkbox"/> No Record (You must submit a National Agency Check (NAC) using an SF 85P).																		
TYPED NAME, GRADE, AND TITLE	SIGNATURE	DATE																

FK FORM 5042-R-E, APR 03

VI.10

Encl 2 to memo, IMSE-KNX-IMO, 16 July 2006, subject: Fort Knox Policy Memo No. 40-06 – Investigative Requirements for Contractors Accessing Sensitive Government Information Systems and Networks

GUIDANCE FOR USE OF THIS FORM

This form will be used to check the investigative status of Federal Government Contractors. The following procedures apply:

- Determine if the contractor has a classified or unclassified contract.
 - If the contractor has a classified contract, the investigative information will be obtained from the contractor's facility security officer. If an investigation is required, the facility security officer will process the SF 85P.
 - If the contractor does not have a classified contract, follow the instructions below.
- Query the individual to determine if there has been over a 2 year break in Federal Service or Federal Government Contractor employment.
- If more than a 2 year break exists, forward the appropriate investigation to G2/Directorate of Intelligence and Security.
- If the individual does not work for a contractor with a classified contract or has not had over a 2 year break from Federal Government, forward this form to G2/Directorate of Intelligence and Security, ATTN: ATZK-SSP.

Results of the status check will be annotated on this form:

- If "No Record" is indicated on the form or the individual has over a 2 year break in Federal employment, follow the procedures outlined in paragraph 4, Personnel Security Update 17, June 1998, in submitting the appropriate forms:
 - ADP I Position: Single Scope Background Investigation (SSBI): The investigative packet will consist of a DD Form 1879, SF 85P, and FD 258.
 - ADP II & ADP III: National Agency Check (NAC): The investigative packet will consist of a National Agency Security Information Form, SF 85P, and FD 258.

Criteria for determining ADP I, ADP II, and ADP III is outlined in AR 380-67, paragraph 3-1C1 and appendix K and USAARMC Pam 38C-67, Appendix J.

FK FORM 5042 R-E, APP 03 (Back)

Encl 2 to memo, IMSE-KNX-IMO, 16 July 2006, subject: Fort Knox Policy Memo No. 40-06 -- Investigative Requirements for Contractors Accessing Sensitive Government Information Systems and Networks

Information Technology (IT) Requirements for Contractors

1. Personnel requiring access to automated information systems (AIS) are required to have the appropriate investigation/clearance.

a. Civilian, military, consultants, and **contractor personnel** meeting the requirements of an IT I, II, or III position (see criteria in para 1c) will undergo a security investigation as listed below:

(1) IT I. Single Scope Background Investigation (SSBI).

(2) IT II. National Agency Check with Local Agency and Credit Check (NACLC).

(3) IT III. National Agency Check (NAC).

b. Before users are granted access to any system, the system owner must determine if access requires a background check and the type of background check required per the level of IT sensitivity and the IT position requirements defined in paragraph 1a above.

c. Criteria for determining eligibility for ITs I, II, or III positions are contained in AR 380-67, paragraph 2-200; USAARMC Pam 380-67, Appendix S; and Fort Knox DPTMS Security Division Public Folder, Personnel Security Program, and Personnel Security Adjudicative Guidelines. Commanders or supervisors who become aware of adverse information, either through the formal security investigation or other official sources, will follow the procedures in AR 380-67, Chapter 8, which may include suspension from duties. Suspensions or other more adverse actions will be based on the normal process as contained in AR 380-67. The investigation must be successfully completed before assigning individuals to any IT I or II duties.

d. Criteria for Designating IT Positions.

(1) IT I. Critical-sensitive positions. Those positions in which the incumbent is responsible for the planning, direction, and implementation of a computer security program; has a major responsibility for direction, planning, and design of a computer system, including the hardware and software; or has access to a system during the operation or maintenance in such a way, and with a relatively high risk of causing grave damage or realizes a significant personal gain.

(2) IT II. Noncritical sensitive positions. Those positions in which the incumbent is responsible for the direction, planning, design, operation, or maintenance of a computer system and whose work is technically reviewed by a higher authority of the IT I category for ensuring the integrity of the system.

(3) IT III. Nonsensitive positions. All other positions involved in computer activities.

2. Additional responsibilities for personnel managing; supervising; and performing ITs I, II, and III duties are found in Chapter 9, AR 380-67, and Chapter 9, USAARMC Pam 380-67.